



ALABAMA DEPARTMENT OF INSURANCE

Preneed Division

201 Monroe Street, Suite 502

Montgomery, AL 36130-3351

APPLICATION FOR TRANSFER OF PRENEED CERTIFICATE OF AUTHORITY

FORM ATPCAL (8/2012)

NAME AND LICENSE NUMBER OF PRENEED CERTIFICATE OF AUTHORITY TO BE TRANSFERRED:

ADDRESS OF PRENEED CERTIFICATE OF AUTHORITY LICENSE TO BE TRANSFERRED:

NAME OF TRANSFEREE: _____

ADDRESS OF TRANSFEREE: _____

A transfer fee of \$100.00 must accompany this application.

1. Is the transferee already in the preneed funeral, cemetery or third party seller business? Yes ____ No _____. If yes, does the transferee have an existing preneed certificate of authority? Yes ____ No _____. If yes, under what name and license number does the transferee operate its preneed business? _____
2. If the transferee is already in the preneed business, by what date does the transferee intend to provide those documents required by Section 27-17A-11, Code of Alabama 1975, to the Alabama Department of Insurance? _____
3. Will the transferee operate the transferred entity as a part of a common business enterprise, with a name other than that of the common business enterprise, and register the entity as a branch registrant? Yes ____ No ____.
4. Will the entity operate under the name of the common business enterprise, with the transferee surrendering the transferred preneed certificate of authority license? Yes ____ No ____.
5. If the transferred preneed certificate of authority is to be surrendered, the transferee must comply with the requirements of Section 27-17A-16, Code of Alabama 1975, by filling out Form ASPCAL (4/2003).
6. If the transferee is not already in the preneed business, please provide an explanation as to how the transferee intends to comply with Section 27-17A-11, Code of Alabama 1975.
7. What was the method of funding for the preneed contracts sold by the entity being transferred (trust fund, insurance policies, letter of credit, surety bond)? _____
8. The transferee should explain on a separate sheet of paper the procedures to be used in protecting the existing preneed funds of the entity being transferred, i.e., if the existing preneed funds are in a trust agreement, will that existing trust agreement be maintained or will the existing preneed funds be transferred to the trust of the transferee, etc.? The explanation will depend upon the funding methodology of the existing entity and the funding methodology of the transferee, but the explanation should be full and complete.
9. Does the transferee intend to notify existing preneed contract holders of the transfer of their certificates? Yes ____ No _____. If yes, how will the notification be made? _____

Signature of Transferring Preneed Certificate of Authority Holder With

Signature of Alabama Commissioner of Insurance

Date

Date

Signature of Transferee

Date